

**Chief Compliance Officer**  
**Office of Enterprise Compliance**  
**March 16, 2011**

**Item 5a – Attachment 1**

**Board Assignment Status**

<b>Assignment Date</b>	<b>Request / Subject</b>	<b>Due Date</b>	<b>Status / Completed Date</b>
Dec 2010	Allegation cases for Board Members and Executive staff should be investigated by an outside party.	TBD	Staff is researching and developing an escalation protocol to refer Ethics Helpline issues to an external party when deemed appropriate for external investigation or review.

**Other Items of Interest**

<b>Item of Interest</b>	<b>Status / Completed Date</b>
Program Activities	<ul style="list-style-type: none"> <li>• ECOM presented two sessions of <i>Compliance and Ethics: Everyone's Responsibility</i> in New Employee Orientation on March 2 and L.E.A.D.E.R. training on March 9.</li> <li>• Ethics Helpline Monitor was hired, effective March 11.</li> <li>• Form 700 Coordinator was hired, effective March 2.</li> </ul>
Reporting Non-Compliance Issues	Ongoing
Compliance Area Manager – Investments	<ul style="list-style-type: none"> <li>• Global Equities and Fixed Income Compliance Area Managers (CAM) are monitoring investments daily and providing weekly summaries of compliance alerts to the Chief Compliance Officer.</li> <li>• CAMs worked with INVO and LEGO on Investment policy reviews.</li> </ul>
Compliance Area Manager – Health	<ul style="list-style-type: none"> <li>• CAM worked with Health business line to assess risk of non-compliance with policies, rules, and regulations.</li> </ul>
Compliance Area Manager – Pension	<ul style="list-style-type: none"> <li>• CAM worked with Pension business line to assess risk of non-compliance with policies, rules, and regulations.</li> </ul>